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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/918,091	07/30/2001	Kimberly Ann Pfiffner	P04763US0 CC CENTRAL	2045

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DES MOINES, IA 50309-2721

EXAMINER

LIVERSEDGE, JENNIFER L

ART UNIT	PAPER NUMBER
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3628

DATE MAILED: 10/03/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/918,091

Applicant(s)

PFIFFNER ET AL.

Examiner

Jennifer Liversedge

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 30 July 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-17 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-17 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 July 2001 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: _____.

DETAILED ACTION

Specification

The disclosure is objected to because of the following informalities:

Page 1, "A business unit is simply refers..." includes extra verbage.

Page 17 refers to "...service 100 associated with a stateless session bean one of two" which should read "...service 100 associated with a stateless session bean 102."

Page 18 refers to "...contact date 134..." whereas Figure 8 refers to "contract Data 134".

Appropriate correction is required.

Drawings

The drawings are objected to because:

Figure 1 refers to Item 12 as Call Center App whereas the specification refers to Item 12 as Contact Center Application (page 8).

Figure 8 refers to 3 items labeled as "Contract Data" but labeled 134, 136, and 138 with different names assigned on page 18 of the specification, specifically contact data 134, client file data 136, and agent data 138.

Corrected drawing sheets in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The figure or figure number of an amended drawing should not be labeled as "amended." If a drawing figure

is to be canceled, the appropriate figure must be removed from the replacement sheet, and where necessary, the remaining figures must be renumbered and appropriate changes made to the brief description of the several views of the drawings for consistency. Additional replacement sheets may be necessary to show the renumbering of the remaining figures. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they include the following reference character(s) not mentioned in the description: Items 60, 62 and 64 on Figure 5; Items 124, 126, 128, 130, 132, 140, and 142 on Figure 8. Corrected drawing sheets in compliance with 37 CFR 1.121(d), or amendment to the specification to add the reference character(s) in the description in compliance with 37 CFR 1.121(b) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner,

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the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

Claim Objections

Claim 13 is objected to because of the following informalities: the preamble is inconsistent with the base claim. Appropriate correction is required.

Claim Rejections - 35 USC § 101

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 1-6 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter. Claims 1-6 are directed to software per se which is non-statutory subject matter.

Claim 17 is rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter. Claim 17 is directed to a software article and software per se is non-statutory subject matter.

Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

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Claims 1-6 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. The preamble recites "the system...". However, the body of the claims refer to a database and software (applications). Thus, it is unclear what kind of physical elements constitute the claimed system.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-2 and 13-14 are rejected under 35 U.S.C. 102(b) as being anticipated by U.S. Patent No. 5,696,906 to Peters et al. (further referred to as Peters).

Regarding claim 1, Peters discloses a system for enterprise wide client interaction management across a plurality of business units (Figure 13; column 1, lines 5-14 and lines 45-50; column 1, line 65 – column 2, line 2) comprising:

An enterprise wide database, the database containing shared client interaction information and client interaction information specific to at least one of the business units (Figures 5 and 14; column 4, lines 43-55; column 5, line 66 – column 6, line 4; column 6, lines 39-44 and lines 50-62; column 18, lines 48-59);

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A contact center application capable of accessing the database and causing client interaction information to be displayed (Figures 5 and 14; column 9, lines 18-28; column 13, lines 49-62; column 14, lines 22-36); and

A support application capable of accessing the database, creating default configuration for each business unit, and creating information restrictions for each business unit (Figures 5 and 14; column 5, lines 34-40; column 11, lines 52-57; column 16, lines 52-53; column 18, lines 48-59; column 19, lines 37-43).

Regarding claim 13, Peters discloses a system for enterprise wide client interaction management across a plurality of business units (Figure 13; column 1, lines 5-14 and lines 45-50; column 1, line 65 – column 2, line 2) comprising:

A computing device including a digital storage medium and a central processing unit (column 3, line 64 – column 4, line 58);

An enterprise wide database, the database containing shared client interaction information and client interaction information specific to at least one of the business units (Figures 5 and 14; column 4, lines 43-55; column 5, line 66 – column 6, line 4; column 6, lines 39-44 and lines 50-62; column 18, lines 48-59);

A contact center software application in the digital storage medium and executed by the computing device for accessing the database and causing client interaction information to be displayed (Figures 5 and 14; column 9, lines 18-28; column 13, lines 49-62; column 14, lines 22-36); and

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A support software application in the digital storage medium and executed by the computing device for accessing the database, creating default configuration for each business unit, and creating information restrictions for each business unit (Figures 5 and 14; column 5, lines 34-40; column 11, lines 52-57; column 16, lines 52-53; column 18, lines 48-59; column 19, lines 37-43).

Regarding claims 2 and 14, Peters discloses the system for enterprise wide client interaction management wherein one or more of the business units is selected from the set comprising an insurance unit, a financial unit, a retirement planning unit, a distribution unit, a mortgage unit, a pension unit, and a banking unit (column 2, lines 29-32; column 30, lines 37-47).

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claim 17 is rejected under 35 U.S.C. 102(e) as being anticipated by U.S. Patent No. 6,574,635 B2 to Stauber et al. (further referred to as Stauber).

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Regarding claim 17, Peters discloses a software article for use in interacting between a contact center and a customer (Figure 1), the software article comprising:

A computer readable signal bearing medium (column 5, lines 19-23);

Means in the medium for executing software for interacting between the contact center personnel and the client (Figure 1; column 5, lines 19-23);

Means in the medium for creating a user interface for the software, the user interface having objects that comprise a tree structure for displaying account information in hierarchical form (Figures 2-3; column 4, lines 40-58); and

Means in the medium for creating a user interface for the software the user interface having the capability of enabling and disabling information topics within the hierarchical form (column 6, line 55 – column 7, line 3; column 11, lines 33-36); and

Means in the medium for allowing a user to navigate the tree structure in the user interface to display information related to an enabled topic (column 6, lines 55-59; column 8, lines 7-15; column 9, lines 42-46; column 12, lines 49-55; column 13, lines 33-46 and lines 69-62).

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

Claims 3-6 and 15-16 are rejected under 35 U.S.C. 103(a) as being unpatentable over Peters as applied to claims 1 and 13 above, and further in view of U.S. Patent No. 6,574,635 B2 to Stauber et al. (further referred to as Stauber).

Peters does not disclose wherein applications are written in Java or PowerBuilder. However, Stauber discloses wherein applications are written in Java or PowerBuilder (column 7, lines 58-62; column 11, lines 22-25; column 16, lines 21-26). It would be obvious to one of ordinary skill in the art at the time of the invention to modify the scalable account management system as disclosed by Peters to adapt the use of Java and PowerBuilder as disclosed by Stauber. The motivation would be to use well known computer languages to program the functions of account management.

Claims 7-8 and 11-12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Peters.

Regarding claim 7, Peters discloses a method of restriction based on customer interaction management between a customer and a customer representative (column 5, lines 34-40; column 11, lines 52-57) comprising:

Initializing a customer interaction (Figures 4 and 5; column 10, lines 23-25);

Retrieving information related to the customer (Figures 5 and 14; column 9, lines 18-28; column 13, lines 49-62; column 14, lines 22-36; and

Restricting the representative's ability to access a first customer information field (column 5, lines 34-40; column 11, lines 52-57).

Peters does not disclose where restriction is based on a second customer information field. However, Examiner takes Official Notice that it is old and well known to restrict access to a client based on customer information. It would be obvious to one of ordinary skill in the art at the time of the invention to restrict access to accounts based on customer information fields, the motivation being to ensure that only qualified representatives gained access to particular accounts. For example, in a law firm, substantial and influential clients may be seen by only senior partners, where junior partners would be prohibited access to meetings with such clients. An another example, in a bank, a VIP customer may be seen by the bank president directly, where the average teller would be prevented from servicing the customer. Customer service specialists are known throughout industries, such as a sales representative who focuses on adhesives compared to the sales representative who specializes in fabrics. While they may work for the same company and be seated at adjacent desks, if a call comes into the reception desk from a client with a call related to adhesives, the call will

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be directed to the appropriate representative, and specifically not to the less suited representative.

Additionally, Applicant discloses in the background where currently, representatives are restricted from access to certain customers based on location, as laws require licensing regulations for servicing and offering services across jurisdictions. Applicant cites the current mechanism where the representative either remembers their jurisdiction restrictions, or uses Post-it type notes as reminders. Peters discloses restricting information to account representatives (column 5, lines 34-40; column 11, lines 52-57) and uses a "reminder function" within the account in order that representatives have notes and reminders regarding aspects of the account electronically available (column 6, lines 50-62; column 10, lines 23-31; column 15, lines 21-29). Further, it would have been obvious to one of ordinary skill in the art at the time of the invention to have automated the method of using a computer system to determine who might service an account because it would have allowed for efficient determination as a user accessed a computer screen with account information, which was known, and the end result would have been the same compared to the manual method. *In re Venner*, 262 F.2d 91, 95, 1209 USPQ 193, 194 (CCPA 1958).

Regarding claim 8, Peters discloses the method wherein the second customer information field contains a state (Figure 6).

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Regarding claim 11, Peters discloses the method wherein the step of initializing a customer interaction is selected from the set comprising receiving a phone call from a customer, calling a customer, receiving a facsimile from a customer, sending a facsimile to a customer, receiving an electronic message from a customer, sending an electronic message to a customer and visiting personally with a customer (column 7, lines 23-30 and lines 58-64; column 8, lines 37-40; column 19, lines 31-34; column 29, lines 48-65).

Regarding claim 12, Peters discloses a method of restricting unauthorized transactions using a computer system (column 5, lines 34-40; column 11, lines 52-57) comprising:

Receiving information concerning a customer's political subdivision (Figure 6);

Selectively enabling data fields (column 5, lines 34-40; column 11, lines 52-57).

Peters does not disclose restricting transactions based on a particular political subdivision to customers within the political subdivision, receiving information concerning the broker/dealer's licensing for the customer's political subdivision and selectively enabling data fields based on the broker/dealer's licensing.

However, Examiner takes Official Notice that it is old and well known to restrict access to a client based on customer information. It would be obvious to one of ordinary skill in the art at the time of the invention to restrict access to accounts based on customer information fields, the motivation being to ensure that only qualified representatives gained access to particular accounts. For example, in a law firm, substantial and influential clients may be seen by only senior partners, where junior

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partners would be prohibited access to meetings with such clients. An another example, in a bank, a VIP customer may be seen by the bank president directly, where the average teller would be prevented from servicing the customer. Customer service specialists are known throughout industries, such as a sales representative who focuses on adhesives compared to the sales representative who specializes in fabrics. While they may work for the same company and be seated at adjacent desks, if a call comes into the reception desk from a client with a call related to adhesives, the call will be directed to the appropriate representative, and specifically not to the less suited representative.

Additionally, Applicant discloses in the background where currently, representatives are restricted from access to certain customers based on location, as laws require licensing regulations for servicing and offering services across jurisdictions. Applicant cites the current mechanism where the representative either remembers their jurisdiction restrictions, or uses Post-it type notes as reminders. Peters discloses restricting information to account representatives (column 5, lines 34-40; column 11, lines 52-57) and uses a "reminder function" within the account in order that representatives have notes and reminders regarding aspects of the account electronically available (column 6, lines 50-62; column 10, lines 23-31; column 15, lines 21-29). Further, it would have been obvious to one of ordinary skill in the art at the time of the invention to have automated the method of using a computer system to determine who might service an account because it would have allowed for efficient determination as a user accessed a computer screen with account information, which was known, and

the end result would have been the same compared to the manual method. *In re Venner*, 262 F.2d 91, 95, 1209 USPQ 193, 194 (CCPA 1958).

Claims 9-10 are rejected under 35 U.S.C. 103(a) as being unpatentable over Peters as applied to claim 7 above, and further in view of Pub. No. U.S. 2002/0156842A1 to Signes et al. (further referred to as Signes).

Peters does not disclose the method wherein the second customer information field contains a marital status or a language. However, Signes discloses wherein the second customer information field contains a marital status or a language (page 2, paragraph 26). It would be obvious to one of ordinary skill in the art to modify the use of customer databases as disclosed by Peters to adapt to inclusion of marital status or language as disclosed by Signes. The motivation would be to gather as much information as possible regarding a customer such that dedicated and specific customer service could be provided.

Conclusion

Any inquiry concerning this communication should be directed to Jennifer Liversedge whose telephone number is 571-272-3167. The examiner can normally be reached on Monday – Friday, 8:30 – 5 PM.

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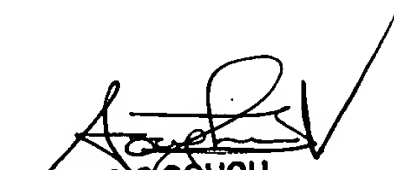
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Sam Sough can be reached at 571-272-6799. The fax number for the organization where the application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Jennifer Liversedge

Examiner

Art Unit 3628


HYUNG SOUGH
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 3600